

Notice of Allowability	Application No.	Applicant(s)	
	10/690,243	KENRICH, MICHAEL FREDERICK	
	Examiner	Art Unit	
	FARID HOMAYOUNMEHR	2434	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to Applicant's response dated 8/5/10.
2. ☒ The allowed claim(s) is/are 1-16, 18-38, 45-48, now re-numbered as claims 1-41.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
 - a) ☐ All b) ☐ Some* c) ☐ None of the:
 1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

* Certified copies not received: _____.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
 - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
 - 1) ☐ hereto or 2) ☐ to Paper No./Mail Date _____.
 - (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____.

Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

- | | |
|--|---|
| 1. <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 5. <input type="checkbox"/> Notice of Informal Patent Application |
| 2. <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 6. <input checked="" type="checkbox"/> Interview Summary (PTO-413),
Paper No./Mail Date _____. |
| 3. <input checked="" type="checkbox"/> Information Disclosure Statements (PTO/SB/08),
Paper No./Mail Date <u>9/7/10</u> | 7. <input checked="" type="checkbox"/> Examiner's Amendment/Comment |
| 4. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit
of Biological Material | 8. <input type="checkbox"/> Examiner's Statement of Reasons for Allowance |
| | 9. <input type="checkbox"/> Other _____. |

/Farid Homayounmehr/
Primary Examiner
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DETAILED ACTION

EXAMINER'S AMENDMENT

1. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it **MUST** be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Mr. Salvador Bezos on 9/7/2010.

The application has been amended as follows:

1. (Currently Amended) A method for approving a security change for a file security system that secures electronic files, comprising:
receiving a request for the security change from a requestor, the security change being used for determining access rights comprising permission to retrieve and to receive an electronic file from within a secure file store;
identifying a plurality of approvers to approve or disapprove of the requested security change by accessing an approver set in an approval manager module;
notifying the approvers of an approval request for the requested security to change; ~~and~~
determining, for at least one response received from the approvers, whether it remains possible for a quorum of the approvers to approve the requested security change; and
determining whether the requested security change is approved based on responses from the approvers to the approval request.

2. (Previously Presented) The method as recited in claim 1, wherein said notifying of the approvers is achieved by electronic mail.

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3. (Previously Presented) The method as recited in claim 2, further comprising: receiving the responses from the approval group as electronic mail.

4. (Previously Presented) The method as recited in claim 1, wherein determining whether the requested security change is approved includes determining that no one of the plurality of approvers is authorized to individually approve the requested security change.

5. (Previously Presented) The method as recited in claim 1, wherein identifying the plurality of approvers comprises:
identifying a plurality of approvers that are arranged as a set or group.

6. (Previously Presented) The method as recited in claim 1, wherein identifying the plurality of approvers comprises:
identifying a plurality of approvers that are arranged in a plurality of sets or groups, wherein said determining whether the requested security change is approved comprises evaluating whether more than one of the plurality of sets or groups have approved the requested security change.

7. (Previously Presented) The method as recited in claim 6, wherein identifying the plurality of approvers comprises:
identifying a plurality of sets or groups that are arranged in a hierarchy, and wherein progression to a next level in the hierarchy comprises obtaining approval from the set or group associated with a current level.

8. (Previously Presented) The method as recited in claim 1, wherein identifying the plurality of approvers comprises:
identifying a plurality of users of the file security system.

9. (Previously Presented) The method as recited in claim 1, wherein identifying the plurality of approvers comprises:

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identifying a plurality of approvers that form a set of approvers, wherein said determining whether the requested security change is approved comprises evaluating whether a subset of the set of approvers approve the requested security change.

10. (Previously Presented) The method as recited in claim 1, wherein identifying the plurality of approvers comprises:

identifying the approvers based on the requested security change.

11. (Previously Presented) The method as recited in claim 1, wherein identifying the plurality of approvers comprises:

identifying the approvers based on the requestor.

12. (Previously Presented) The method as recited in claim 1, wherein said notifying operates to substantially simultaneously notify all of the approvers of the approval request for the requested security change.

13. (Previously Presented) The method as recited in claim 1, wherein said notifying operates to substantially concurrently notify all of the approvers of the approval request for the requested security change.

14. (Previously Presented) The method as recited in claim 1, wherein receiving the request for the security change comprises:

receiving a request for a security change that applies to electronic documents.

15. (Currently Amended) A file security system configured to restrict access to secured electronic documents, comprising:

an access server device configured to restrict access to the secured electronic documents; and

an approval manager operatively connected to said access server and configured to operate a security change approval process to determine whether a requested security change is approved, the security change being used for determining access rights comprising permission to retrieve and to receive the secured electronic documents from within a secure file store,

wherein, in operating the security change approval process, the approval manager is configured to notify a plurality of approvers of the requested security change, to ask the

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approvers to approve or disapprove the requested security change, and to access an approver set to identify the plurality of approvers, and
wherein the approval manager is further configured to determine, for at least one response received from the approvers, whether it remains possible for a quorum of the approvers to approve the requested security change.

16. (Previously Presented) The file security system as recited in claim 15, wherein said approval manager is configured to operate the security change approval process without any interaction from a system administrator.

17. (Cancelled)

18. (Previously Presented) The file security system as recited in claim 15, wherein the approval manager is configured to notify the approvers of the requested security change by electronic mail messages.

19. (Previously Presented) The file security system as recited in claim 18, wherein the approval manager is configured to enable the approvers to approve or disapprove the requested security change using reply electronic mail messages.

20. (Previously Presented) The file security system as recited in claim 19, wherein the approval manager is configured to enable the approvers to reply to the requested security change by electronic mail messages that include a digital signature of the associated approver to verify authenticity.

21. (Previously Presented) The file security system as recited in claim 15, wherein the approval manager is configured to specify that no one of the approvers is permitted to individually approve the requested security change.

22. (Previously Presented) The file security system as recited in claim 15, wherein the approval manager is configured to arrange the approvers as a set or group.

23. (Previously Presented) The file security system as recited in claim 15, wherein the approval manager is configured to arrange the approvers into a plurality of sets or groups, and

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wherein said approval manager is configured to obtain approval from more than one of the plurality of sets or groups in order to determine that the requested security change is approved.

24. (Previously Presented) The file security system as recited in claim 23, wherein the approval manager is configured to arrange the plurality of sets or groups of approvers in a hierarchy, and wherein the approval manager is configured to allow progression of at least one of the approvers to a next level in the hierarchy in response to approval of the at least one approver from the set or group of approvers associated with a current level.

25. (Previously Presented) The file security system as recited in claim 15, wherein the approvers are users of the file security system.

26. (Previously Presented) The file security system as recited in claim 15, wherein the plurality of approvers form a set of approvers, and wherein said approval manager is configured to determine that the requested security change is approved in response to a subset of the set of approvers approving the requested security change.

27. (Previously Presented) The file security system as recited in claim 15, wherein said approval manager is configured to identify the plurality of approvers dependent on the requested security change.

28. (Previously Presented) The file security system as recited in claim 15, wherein said approval manager is configured to identify the plurality of approvers dependent on the requestor.

29. (Previously Presented) The file security system as recited in claim 15, further comprising:

a key store operatively connected to said access server and configured to store cryptographic keys used to gain access to the secured electronic documents.

30. (Currently Amended) An article of manufacture including a computer-readable storage medium having stored thereon computer-executable instructions, execution of which, by a computing device, causes the computing device to perform

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operations for approving a security change for a file security system that secures electronic files, the operations comprising:

notifying a plurality of approvers of an approval request for the requested security change, the plurality of approvers identified by accessing an approver set in an approval manager module; ~~and~~

determining, for at least one response received from the approvers, whether it remains possible for a quorum of the approvers to approve the requested security change; and

determining whether the requested security change is approved based on responses from the approvers to the approval request,

the security change being used for determining access rights comprising permission to retrieve and to receive an electronic file from within a secure file store.

31. (Previously Presented) The article of manufacture as recited in claim 30, wherein said notifying of the approvers is achieved by electronic mail.

32. (Previously Presented) The article of manufacture as recited in claim 31, wherein the responses from the approval group are electronic mail.

33. (Previously Presented) The article of manufacture as recited in claim 30, wherein no one of the plurality of approvers can individually approve the requested security change.

34. (Currently Amended) A method for approving a security change for a file security system that secures an electronic file, comprising:

receiving, in a computing device, a security change request from a requestor, the security change being used for determining access rights comprising permission to retrieve and to receive the electronic file from within a secure file store;

determining whether the requestor is authorized to perform the requested security change;

receiving an approval request from the requestor;

based on the receipt of the approval request, performing at least the following:

identifying one or more approvers to approve or disapprove of the requested security change;

notifying the one or more approvers of an approval request for the requested security change; ~~and~~

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determining, for at least one response received from the approvers, whether it remains possible for a quorum of the one or more approvers to approve the requested security change; and

determining whether the requested security change is approved based on responses from the one or more approvers to the approval request.

35. (Currently Amended) A file security system configured to restrict access to a secured electronic document, comprising:

an access server device configured to restrict access to the secured electronic document; and

an approval manager module operatively connected to said access server, wherein said approval manager module is configured to determine whether a security change is authorized, the security change being used for determining permission to retrieve and to receive the secured electronic document from within a secure file store, and wherein the approval manager module is configured to operate, in response to a determination that the security change is not authorized, a security change approval process upon receipt of an approval request to determine whether the security change is approved,

wherein the approval manager is further configured to determine, for at least one response received from the approvers, whether it remains possible for a quorum of approvers identified by the security change approval process to approve the requested security change.

36. (Currently Amended) An article of manufacture including a computer-readable storage medium having stored thereon computer-executable instructions, execution of which, by a computing device, causes the computing device to perform operations for approving a security change for a file security system that secures an electronic file, the operations comprising:

determining whether the requested security change is authorized, the security change being used for determining access rights comprising permission to retrieve and to receive the electronic file from within a secure file store;

notifying one or more approvers of an approval request for the requested security change in response to determining that the requested security change is not authorized, and in response to receiving the approval request; and

determining, for at least one response received from the approvers, whether it remains possible for a quorum of the approvers to approve the requested security change; and

determining whether the requested security change is approved based on responses from the one or more approvers to the approval.

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37. (Previously Presented) The method of claim 1, wherein receiving the request for the security change comprises:

receiving a request that relates to a secure file store that is located at the file security system.

38. (Previously Presented) The method of claim 1, wherein receiving the request for the security change comprises:

receiving a request that relates to a secure file store that is located at the requestor.

39-44. (Cancelled)

45. (Previously Presented) The method of claim 1, further comprising:

performing the requested security change in response to determining that the requested security change has been approved.

46. (Previously Presented) The article of manufacture as recited in claim 30, the operations further comprising:

performing the requested security change when said determining determines that the requested security change has been approved.

47. (Previously Presented) The method of claim 34, further comprising:

performing the requested security change in response to determining that the requestor is authorized to perform the requested security change, or in response to determining that the requested security change has been approved.

48. (Previously Presented) The article of manufacture of claim 36, the operations further comprising:

performing the requested security change in response to determining that the requested security change is authorized, or in response to determining that the requested security change has been approved.

3. Claims 17, 39-44 have been cancelled by the applicant. No new claims are added.

4. Claims 1-16, 18-38, 45-48, now re-numbered as claims 1-41 are pending.

Response to Arguments

6. Applicant's argument relative to prior art rejection in light of the amendments noted by this action, and the telephone interview conducted on 9/8/2010 have been found persuasive (please see the attached Interview Summary).

Allowable Subject Matter

7. Amended claims 1-16, 18-38, 45-48, now re-numbered as claims 1-41 are allowed.

Information Disclosure Statement

The information disclosure statement (IDS) submitted on 9/7/2020 has been considered. See Form PTO-1440 attached.

Conclusion

8. Any comments considered necessary by the applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submission should be clearly labeled "comments on statement of reasons for allowance."
9. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Farid Homayounmehr whose telephone number is 571 272 3739. The examiner can normally be reached on 9 hrs Mon-Fri, off Monday biweekly.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Edan Orgad can be reached on (571) 272-7884. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Farid Homayounmehr/

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